



IAP6 Rec'd PCT/PTO 02 OCT 2006

ATTORNEY DOCKET NO. 21101.0049U2  
PATENT APPLICATION

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of )

SANCHEZ *et al.* )

Application No.: 10/532,198 )

Filing Date: August 8, 2005 )

For: MANAGING BIOLOGICAL )  
DATABASES )

Art Unit: 2167

Examiner: Not Yet Assigned

Confirmation No.: 8394

**REQUEST FOR CORRECTED FILING RECEIPT**

Commissioner for Patents  
Box 1450  
Alexandria, VA 22313-1450

NEEDLE & ROSENBERG, P.C.  
Customer Number 23859

Sir:

In response to the Filing Receipt issued in the above-identified application, we hereby formally request that a corrected Filing Receipt be issued to reflect the addition of second inventor Sofia Robb. This request is being filed because the second inventor listed on the Transmittal Letter, was not included on the filing receipt.

A copy of the Filing Receipt with the correction indicated in red is attached for your convenience. Also included is a copy of the Transmittal Letter showing the name of the second inventor Sofia Robb. No fee is believed to be due; however, the Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. 14-0629.

Respectfully submitted,

David E. Huizenga  
Registration No. 49,026

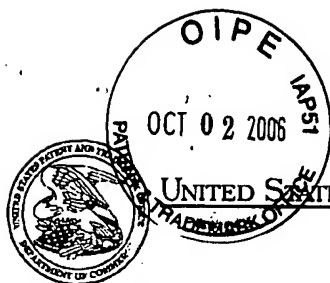
NEEDLE & ROSENBERG, P.C.  
Customer No. 23859  
678-420-9300  
678-420-9301 fax

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence and any items indicated as attached or included are being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, on the date indicated below.

  
\_\_\_\_\_  
David E. Huizenga

  
\_\_\_\_\_  
Date



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
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| APPL NO.   | FILING OR 371<br>(c) DATE | ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLMS | IND CLMS |
|------------|---------------------------|----------|---------------|-----------------|----------|----------|----------|
| 10/532,198 | 08/08/2005                | 2167     | 1990          | 21101.0049U2    | 35       | 56       | 9        |

23859  
 NEEDLE & ROSENBERG, P.C.  
 SUITE 1000  
 999 PEACHTREE STREET  
 ATLANTA, GA 30309-3915

*RAH/DEH/CFR/GOR*

Needle & Rosenberg

By *RC* DOCKETED *8/31/06* Date

Reviewed \_\_\_\_\_ Name/Date

Scanned \_\_\_\_\_

CONFIRMATION NO. 8394

## FILING RECEIPT



\*OC000000020201602\*

Date Mailed: 08/28/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Alejandro Sanchez, Salt Lake City, UT;  
*Sofia Robb, Salt Lake City, UT*

## Assignment For Published Patent Application

UNIVERSITY OF UTAH RESEARCH FOUNDATION, Salt Lake City, UT

RECEIVED

AUG 31 2006

NEEDLE &amp; ROSENBERG

Power of Attorney: The patent practitioners associated with Customer Number 23859.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/US03/33590 10/22/2003  
 which claims benefit of 60/420,216 10/22/2002

## Foreign Applications

If Required, Foreign Filing License Granted: 08/25/2006

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/532,198**

Projected Publication Date: 12/07/2006

Non-Publication Request: No

Early Publication Request: No

**\*\* SMALL ENTITY \*\*****Title**

Managing biological databases

**Preliminary Class**

707

**PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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**LICENSE FOR FOREIGN FILING UNDER**  
**Title 35, United States Code, Section 184**  
**Title 37, Code of Federal Regulations, 5.11 & 5.15**

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The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

#### **NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER

21101.0049U2

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

INTERNATIONAL APPLICATION NO.

PCT/US2003/033590

INTERNATIONAL FILING DATE

22 October 2003

PRIORITY DATE CLAIMED

22 October 2002

TITLE OF INVENTION:

## MANAGING BIOLOGICAL DATABASES

APPLICANT(S) FOR DO/EO/US:

SANCHEZ, Alejandro; ROBB, Sofia

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825. The contents of the paper copy and the computer-readable form of the Sequence Listing submitted herewith are the same and include no new matter, as required by 37 C.F.R. 1.821(f).
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. Other items or information:

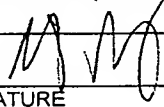
## CERTIFICATE OF EXPRESS MAILING UNDER 37 C.F.R. § 1.10

I hereby certify that this correspondence, including any items indicated as attached or included, is being deposited with the United States Postal Service as Express Mail, Label No. EL980239573US in an envelope addressed to: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date indicated below.

Scott Darnell

Date

4-21-05

|  |              |  |            |   |    |
|--|--------------|--|------------|---|----|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.5)  |              | INTERNATIONAL APPLICATION NO.<br>PCT/US2003/033590                         |            | ATTORNEY DOCKET NUMBER<br>21101.0049U2  |    |
| 21. <input checked="" type="checkbox"/> The following fees are submitted:<br><input checked="" type="checkbox"/> a) Basic national fee ..... \$300.00<br><input checked="" type="checkbox"/> b) Examination fee ..... \$200.00<br><input checked="" type="checkbox"/> c) Search fee ..... \$100.00   |              |  |            | <b>CALCULATIONS</b> <b>PTO USE ONLY</b> |    |
| TOTAL OF ABOVE CALCULATIONS =  |              |  |            | \$600.00                                |    |
| <input checked="" type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.  |              |  |            |   |    |
| Total Sheets<br>106  | Extra Sheets | No. of each additional 50 or fraction thereof (round up to a whole number) | RATE       |   |    |
| 106-100  | 6/ 50 = 0.12 | 1  | X 250.00   | \$ 250.00                               |    |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).   |              |  |            | \$ 130.00                               |    |
| CLAIMS   | NUMBER FILED | NUMBER EXTRA   | RATE       |   |    |
| Total claims<br>56   | 56 - 20 =    | 36   | X \$50.00  | \$1800.00                               |    |
| Independent claims<br>8  | 8 - 3 =      | 5  | X \$200.00 | \$1000.00                               |    |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)  |              |  | + \$360.00 |   |    |
| TOTAL OF ABOVE CALCULATIONS =  |              |  |            | \$3780.00                               |    |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.  |              |  |            | \$1890.00                               |    |
| SUBTOTAL =   |              |  |            | \$1890.00                               |    |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 months <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).  |              |  |            | \$*****                                 |    |
| TOTAL NATIONAL FEE =   |              |  |            | \$1890.00                               |    |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) \$40.00 per property  |              |  |            | \$0.00                                  |    |
| TOTAL FEES ENCLOSED =  |              |  |            | \$1890.00                               |    |
|  |              |  |            | Amount to be refunded:                  | \$ |
|  |              |  |            | charged:                                | \$ |
| a. <input type="checkbox"/> A check in the amount of \$***** to cover the above fees is enclosed.<br>b. <input type="checkbox"/> Please charge my Deposit Account No.14-0629 in the amount of \$***** to cover the above fees. A duplicate copy of this sheet is enclosed.<br>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees, which may be required, or credit any overpayment to Deposit Account No. 14-0629. A duplicate copy of this sheet is enclosed.<br>d. <input checked="" type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.<br>e. <input checked="" type="checkbox"/> Pursuant to 37 C.F.R. §1.136(a)(3), the Commissioner is hereby requested and authorized to treat any concurrent or future reply in the above-identified application, requiring a petition for an extension of time for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. |              |  |            |   |    |
| <b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b) must be filed and granted to restore the application to pending status.   |              |  |            |   |    |
| SEND ALL TO THE ADDRESS ASSOCIATED WITH: :<br>Customer No. 23859   |              |  |            |   |    |
| <br>SIGNATURE<br>Robert A. Hodges<br>NAME<br>41,074<br>REGISTRATION NUMBER   |              |  |            |   |    |